



Washington State Department of
Financial Institutions

Financial Examiner Supervisor

Anticipated Hire Date: April 1, 2003

The Washington State Department of Financial Institutions located in Olympia, Washington is searching for a Financial Examiner Supervisor in the Division of Credit Unions. This is a Washington Management Service position.

Responsibility:

Reporting to the Program Manager in the Division of Credit Unions, this position recommends policies to the senior management team in the areas of examination and analysis of state chartered credit unions and develops procedures for examinations and coordinates procedural changes to the process of examination. This position supervises, coordinates, plans and assigns examinations to a staff of professional examiners performing complex examinations and analysis of state chartered credit unions.

This position will:

- Conduct meetings with financial institution officials, management and board directors concerning examination findings, compliance, legal issues and remedial actions. Negotiate on behalf of the Director resolutions to enforcement issues. Direct the division's strategic approach in litigation of enforcement issues.
- Provide technical assistance to regulated industries by planning and coordinating technical assistance programs and by conducting seminars and speaking engagements on compliance or program related issues.
- Determine and recommend division position on specific matters including interpretations of state and federal laws and regulation. Authors division interpretations or opinions on accounting, compliance and licensing related issues.
- Assist executive management in policy development, proposed legislative changes, rules drafting.
- Plan, lead, organize, control and assign work to subordinate financial examiners. Assure appropriate use of the unit's resources and enhance the effectiveness of employees through timely appraisal and professional development opportunities.
- Review, evaluate, analyze and edit findings of subordinates prior to submission and recommendation to the Program Manager and Division Director.
- Coordinate and direct joint examinations/investigations with other department sections and other state or federal agencies.
- Ensure and support effective communications both within the work unit and throughout the organization.

Salary: The salary range is \$69,318 - \$77,004 depending on qualifications and includes a full benefits package. This benefit package includes health, life and long term disability insurance; paid vacation, sick and military leave; optional credit unions, savings bonds, and deferred compensation plans; 11 paid holidays; and a state retirement plan. Located in Olympia, Washington.

Requirements:

Technical knowledge of: State and federal statutes, rules, court decisions, and regulatory opinions applicable to federal and state financial institutions; Manuals of instruction for employees of federal regulatory agencies supervising financial institutions; Principles of appraising investments and collateral; Statistical sampling methods and procedures; Economic principles; Theoretical principles and practices of

auditing and accounting; Information systems software and hardware; Information systems examination techniques and internal controls; Financial organization and practices of financial institutions; Financial trends analysis; Personnel management; and Principles of trust administration and operation.

The position requires accomplished levels of competency in:

Communications: Listening, presentation, oral, written and facilitation skills including communication to carry out the department's regulatory mission and includes writing reports, memoranda, letters and other documents

Interpersonal Skills: Conflict management, teamwork, diplomacy, diversity, networking, negotiating and influencing, ethics, assertiveness, stress management, time management and personal presentation.

Leadership: Teambuilding, decisiveness, making critical decisions, internal change management, and coaching.

Organizational: Vision, strategic planning, organizational awareness, external awareness, process management, project management, performance measurement and improvement, and customer focus.

Management: Principles of management – financial management, budget development, human resources management, supervising professional staff, staff development and training, coaching and mentoring.

Stakeholder Communication and Development – examination processes, enforcement, negotiation, technical assistance.

Legal, safety and soundness or compliance - analysis of compliance with laws and regulatory policy involves applying knowledge of applicable law, regulation, and policy to regulatory issues and situations.

Data Collection and Analysis - collecting adequate, representative, relevant, and reliable data through examination or investigation or in connection with the review of applications in order to draw conclusions for regulatory purposes.

Financial Analysis - analysis of financial statements and information and applying the principles of finance, economics, and accounting.

Desired Qualifications: Preferred candidates will have the following attributes:

A Bachelor's or Master's degree in finance, business administration, economics, or related field including at least 12 semester or 20 quarter hours of accounting, finance or economics and six-years of professional experience examining financial institutions or financial services companies or issuers on behalf of a state or federal regulatory body, or financial Self-regulatory institution or program, or professional experience working for a financial institution or financial services company in the areas of lending, operations, analysis of loan or securities portfolios, auditing, or any combination of these. It is desirable that candidates at this level have obtained the following certifications and/or education:

Graduation from a specialized banking school gained through an accredited college or university (i.e., Pacific Coast Banking School or equivalent), certification as:

- "Certified Financial Examiner" from the Society of Financial Examiners, or
- "Certified Fraud Examiner" from the Association of Certified Fraud Examiners recognized by the court system as "expert witness" or
- "Certified Public Accountant" or
- "Chartered Financial Analyst" from the Association for Investment Management and Research; or

- Other credentials that would allow the examiner to perform advanced analysis or examination, or to testify as an expert witness in a hearing or trial on matters relating to the department's application, examination, or enforcement activities.

Ability to:

- Demonstrate high-level computer skills
- Plan and direct financial examinations for compliance with laws and regulatory policy
- Analyze complex financial accounting data and reports and apply principles of finance, economics, and accounting
- Interpret financial ratios and trends
- Interpret and apply laws, rules, and standards
- Examine and solve difficult financial problems
- Prepare concise, comprehensive, and accurate reports of examinations or investigations outlining deficiencies, concerns and recommend solutions
- Plan, coordinate, supervise, and evaluate activities and training of subordinates
- Detect weaknesses in financial institutions and service company/issuers policies and practices
- Understand technical matters (i.e. software programs and hardware)
- Develop and maintain effective working relationships with associates, and with personnel of institutions and companies examined
- Communicate effectively orally and in writing

Who May Apply:

A screening process will be used to narrow the list of candidates receiving final consideration. Interested applicants should submit by **5:00 p.m., March 21, 2003**, a letter of interest, a current resume, affirmative action profile data (voluntary) and a list of at least three professional references with current telephone numbers to:

Gerri Deach, Human Resources Consultant
Department of Financial Institutions
PO Box 41200
Olympia, WA 98504-1200

Fax: 360-704-6941
Internet e-mail: gdeach@dfi.wa.gov

Note: *The Department of Financial Institutions will conduct a background check on candidates not currently employed at the Department.*

Applicant Profile Form

The Department of Financial Institutions is an equal opportunity employer and encourages all qualified persons including women, racial and ethnic minorities, persons of disability, Vietnam era and disabled veterans, and persons over 40 years of age to apply. We ask that you voluntarily answer the following questions and return this document with your resume or application. This information will be treated as confidential and is only available to authorized personnel and the hiring authority.

APPLICANT PROFILE FORM

Name: _____

Social Security #: _____

1. What race or culture do you consider yourself? *If you are more than one race, please circle "Other Race".*

____ Chinese ____ Vietnamese ____ Filipino ____ Hawaiian ____ Asian
____ Indian ____ Japanese ____ Korean ____ Cambodian ____ Samoan
____ Laotian ____ Guamanian ____ Black ____ White ____ Eskimo ____ Aleut
____ Spanish ____ Latino(a) ____ Hispanic
____ Other Race (specify): _____

2. Are you: ____ Male ____ Female

3. Have you ever been on active duty in the U.S. Armed Services?

- Yes (if circled, see 3a and 3b)
- No

3a. Dates served: from: ____ / ____ / ____ to ____ / ____ / ____

3b. Are you a disabled veteran?

- ____ Yes (____ %)
- ____ No

4. Do you have any physical, sensory, or mental condition that substantially (rather than slightly) limits any of your major life functions, such as: walking, speaking, seeing, hearing, breathing, working, learning, caring for oneself or performing manual tasks?

- ____ Yes
- ____ No

5. Do you have a physical, mental, or other health condition that has lasted six (6) or more months and which limits the kind or amount of work you can do at a job?

- ____ Yes
- ____ No

6. Does the this information reflect a change in what you previously reported?

- ____ Yes
- ____ No

Date of Birth: ____ / ____ / ____

AFFECTED GROUP DEFINITIONS

American Indian or Alaskan Native. A person with origins in any of the original peoples of North America and who maintains cultural identification through documented tribal affiliation or community recognition.

Asian/Pacific Islander. A person with origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. For example, China, Japan, Korea, Pakistan, the Philippine Republic, and Samoa.

Black/African-American. A person with origins in any of the Black racial groups of Africa.

Hispanic. A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin regardless of race. For example, persons from Brazil, Guyana, or Surinam would be classified according to their race and would not necessarily be included in the Hispanic category. This category does not include persons from Portugal, who should be classified according to race.

White/Caucasian. A person with origins in any of the original peoples of Europe, North Africa, or the Middle East.

Disabilities. For Affirmative Action purposes, people with disabilities are persons with a permanent physical, mental, or sensory impairment which substantially limits one or more major life activities. Physical, mental, or sensory impairment means: (a) any physiological or neurological disorders such as mental functions; or (b) any mental or psychological disorders such as mental retardation, organic brain syndrome, emotional or mental illness, or any specific learning disability. The impairment must be material rather than slight, and permanent in that it is seldom fully corrected by medical replacement, therapy or surgical means.

Disabled veteran. A person entitled to disability compensation under laws administered by the U.S. Department of Veteran Affairs for disability rated at 30 percent or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in the line of duty.

Vietnam-era veteran. A person who served on active duty for a period of more than 180 days, any part of which occurred between August 5, 1964, and May 7, 1975, and was discharged or released from duty with other than a dishonorable discharge.

Signature_____

Date_____

Last Modified: 06/24/1999